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ABSTRACT

The horizontal evaluation model was developed to remedy three major problems associated with competency-based approaches to teacher evaluation: there is no consensus regarding what competencies are essential to good teaching; teachers' behaviors may or may not be related to competencies they possess; and competency-based evaluation typically fails to address the relationship between teachers' intentions and practices. In horizontal evaluation the supervisor critiques the teacher in two phases after a lesson has been presented. In the first phase the relationship between intent and practice is analyzed, and in the second phase the teacher's intent is itself assessed. The horizontal evaluation model was tested in case studies involving the conferences between three supervisors and three student teachers seeking certification in special education, elementary education, or secondary education. Three themes emerged in all three cases: a focus on the relationships between intentions and practices, the development of a critical perspective, and the development of holistic analysis. Two further themes appeared in two of the cases: agenda-setting, and clarification of the valuative nature of teaching. Analysis of the studies showed that use of horizontal evaluation changed the priorities of the supervisory conferences. (Author/PGD)

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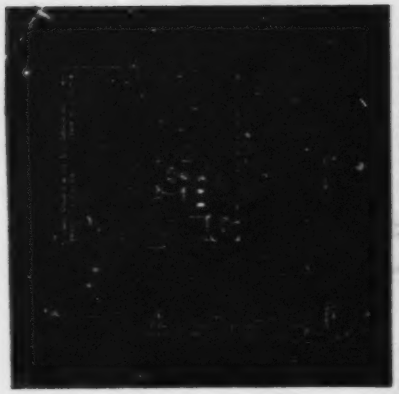

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HORIZONTAL EVALUATION: Its Impact in Three Case Studies

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(The limitations inherent in some evaluation models, encouraged the development of horizontal evaluation. This article provides a research study which examines the effects of horizontal evaluation on student teacher supervision. Three case studies involving supervisors and student teachers from special education, elementary education, and secondary education were employed in this investigation. The analysis of the case studies generated five themes: the relationship of intents and practice, the development of a critical perspective, holistic analysis, clarification of the valuative nature of teaching, and agenda setting. These themes are discussed in terms of their implications for supervisory practice. Ed.)

HORIZONTAL EVALUATION: AN INVESTIGATION INTO AN APPROACH TO STUDENT TEACHER EVALUATION

The supervision of classroom teachers and the evaluation of their performance are matters of deep concern to educators. For both are tied to two issues confronting today's schools--the improvement of instructional practice and accountability to patrons. In this paper we report the findings of three case studies which were undertaken to test the efficacy of a newly proposed model of teacher supervision and evaluation, Horizontal Evaluation (Gitlin, 1981).

This study is a second of four parts of an agenda to develop, test, and refine horizontal evaluation. The first phase involved the development of the basic model. The second phase, the results of which are shared here, concerned the testing of the model in three field applications. The third phase will take the form of a comparative study of the model's effects. The final phase will involve the application of horizontal evaluation in different settings and in varying social-structural arrangements.

EXISTING MODELS

Whenever a new model is introduced the first question that must be answered is, what are the limitations of the existing models? Two general themes have dominated recent thinking about the evaluation of teaching. One line of reasoning holds that knowledge about teaching is internalized or tacit and, therefore, difficult to transmit. This view of teaching has obvious implications for teacher evaluation, for one cannot reliably evaluate and explain what basically resides in the individual subconscious.

The second theme is reflected in performance-based and competency-based approaches to teacher training and evaluation. Although the logic of these approaches seems straightforward, they are plagued by at least three inherent problems. First, their is little agreement concerning the competencies that characterize good teaching (Tom, 1977). Second, there is the problem of determining whether teachers' behaviors can be attributed to the competencies they

possess or to other factors (e.g., structure of physical plant, interpersonal dynamics, formal rules, and procedures). Finally, competency-based, approaches to teacher evaluation typically do not address the issue of the appropriateness of teachers' instructional intentions or the linkage of intent to practice.

The problem of the competency-based model and the notion that educational knowledge is tacit and thus cannot be transmitted, suggests the need to explore and develop other strategies for teacher evaluation. It was in response to this need that the horizontal teacher evaluation model was developed.

HORIZONTAL EVALUTION: ITS THEORETICAL ROOTS

The aim of horizontal evaluation is to expand the scope of evaluation so that theory is linked to practice and the goals of the educational practice become a central focus of the supervision process. As already noted, existing evaluation models such as competency-based teacher education and evaluation focus on the acquisition or monitoring of specific technical skills or both. This perspective is challenged by Eisner (1979) who suggests that teaching may be appropriately viewed as art. He argues that teachers like artists, work with more than technical skills. Dewey (Archambault, 1964) also proposes expanding the focus of teacher evaluation beyond the acquisition of technical skills. He describes the function of personal reflection in the wedding of theory to practice. Both Eisner and Dewey, thus, emphasize the importance of attending to the beliefs, theories and attitudes in which teacher behaviors are rooted. In an attempt at the practical application of this notion, Simon (1977) links theory and practice by applying the concept of educational platform through his use of the notions platform-espoused and plaform-in-use. This concept draws attention to the set of principles from which the teacher derives both purpose and practice.

The horizontal evaluation model, then, applies strategies of art criticism to the reflective analysis of teachers' intents and to the relationship of intents to observed practice.

HORIZONJAL EVALUATION MODEL

This description of Horizontal Evaluation will focus only on the critique portion of the model. For a more detailed description, see Gitlin (1981).

The critique takes place after a lesson has been presented. It has two phases: (1) analysis of the relationship between student teacher intent and practice and (2) assessment of the student teacher's intent.

Analysis of the Relationship Between Intent and Practice

The basic information used to illuminate the relationship between intent and practice is the student teacher's short and long-term intents and the observation of practice recorded by the supervisor. A short-term intent refers to the goals for a lesson or unit, and long-term intent the goals that might be accomplished over a semester, academic year or longer. The role of the supervisor using this model is to clarify the relationship between the student teacher's short and long-term goals and the observed practice. Supervisors using horizontal evaluation may adapt any of the three basic strategies to help student teachers reflect on the relationship between intent and practice.

Use a historical perspective. One technique developed to clarify the relationship between intent and practice is the analysis of a historical perspective.

For example, if a student teacher is questioning whether he or she should use vocational activities in the classroom, the supervisor could point out that historically vocational education was introduced into the junior high school because special interest groups such as the National Society for the Production of Industrial Education (NSPIE) wanted prospective workers to come into industry with better skills (Stroumbis, 1969). The student teacher could then decide whether this historical intent fits his or her personal rationale, and what implications this would have for practice.

Provide alternatives to the student teacher's practice. Another method a supervisor can use to clarify the relationship between intent and practice is to provide alternative ways to approach practice. For example, the student teacher could be conducting a large group discussion in an attempt to meet some curricular intent. The supervisor could ask the student teacher how using small clusters of students could meet the student teacher's intent, or suggest a modification of intent.

Use language analysis. Language analysis provides another method to clarify intent and their relationship to practice. For example, a student teacher might preface an intent by saying, "Well, you understand this is 'the low group'," or "the 'undisciplined class'," or "these students are from 'bad families'." The supervisor can respond to these statements by saying, "What do you mean by the 'bad family' and should that characteristic influence your goals for that group?" These questions help illuminate how the use of particular language may influence the rationale for various intents and practices.

Assessment of Student Teacher Intent

Analysis of student teacher intent is done to avoid evaluation aimed simply at assessing the congruence between intent and practice. For, in this situation, a particular practice could be made congruent with an unjustified intent. The following examples demonstrate techniques which can help student teachers rethink and modify their intents.

Interrelationship between categories of intents. In questioning intents, the supervisor may analyze the congruence between long-term and short-term intents. A teacher may want all students to reach their potential and master a certain amount of work. However, the "low group" may not be expected to do such work and will be expected to misbehave. By pointing out contradictions in what the student teacher wants to do, the supervisor encourages rethinking and modification of intents.

Both of the above strategies allow the supervisor to help the student teacher question and revise original goals.

Dilemma. Still another strategy for helping the student teacher rethink and modify intents is for the supervisor to create a dilemma which contrasts one of the student teacher's intents with a rationale for an opposing or different intent. Let us say that a student teacher states a long-term intent to get through all the major points presented in a social studies text or unit. The supervisor, feeling that the text or unit portrays blacks and women in a negative way, might pose a dilemma for the student by suggesting a rationale for an alternative intent. This intent might abandon getting through the material and concentrate on unearthing the bias implicit in the text or unit. This dilemma would

encourage the student to analyze the bias in the text, his or her reactions to the bias, and the political obligations of the future teacher.

This description of horizontal evaluation has provided a framework within which supervisors can encourage student teacher growth. Specifically, the techniques developed in this model aim: (1) to illuminate the relationship between intent and practice, and (2) to help student teachers' expand and question the goals that guide their practice.

METHOD

The present investigation involved the observation of teacher behavior, teacher intent, and teacher-supervisor interaction over time to determine the effects of horizontal evauation. Case studies have been used in qualitative assessment of the model's effects.

Subjects

The subjects of the study were supervisors and student teachers. Of the three supervisors, one was a clinical assistant professor from the Department of Special Education, one was a teaching assistant from the Department of Educational Studies, Graduate School of Education, University of Utah. The student teacher sample was comprised of one student seeking certification in special education, one student seeking certification in secondary education, and one student seeking certification in elementary education.

Procedure

Data for this study were collected from September 29 through December 18, 1981. Five supervisory teacher lessons were video-taped and, in addition, the student teacher lessons were video-taped to provide a reference for the conferences. The first conferences were video-taped with the supervisors using whatever method of evaluation they commonly practiced. Upon completion of the first session, the supervisors were trained to use horizontal evaluation by a member of the research team. The remaining four conferences were video-taped with the supervisors using the horizontal evaluation model.

Analysis

The analysis of data occurred in three phases. First, each of the three members of the research team analyzed one case study. The relevant data were studied to identify themes that emerged in the supervisory conferences of one supervisor-student teacher set (Lofland, 1977).

Second, each of the three researchers then reviewed the analyses of the other team members. This cross analysis was intended to provide a check on the validity of the themes identified by each team member. This was considered to be a form of triangulation (Guba, 1978).

Finally, the three members of the research team met and discussed the results of their analyses on the three case studies. Those themes upon which a consensus developed were retained as the finding of this study. Although comparisons between the effects of conventional supervisory strategies and horizontal evaluation were made within cases, the primary focus was to determine the effects of the model. In future research, control gorups will be employed for comparative analysis.

Case studies were used in this investigation as the best means to answer the research question. As discussed earlier, horizontal evaluation was developed in response to deficiencies in competency and tacit knowledge approaches to evaluation (Gitlin, 1981). However, until the present investigation, there has been no reported evidence to demonstrate its usefulness or ability to go beyond existing teacher evaluation models. This study was an investigation into the effects of horizontal evaluation as an approach to student teacher evaluation. Given the constructs of horizontal evaluation (described above), it is fitting that the utility of the model was considered in light of teaching as an art, reflective understanding, and educational platform. Because these constructs are subject to considerable variation among subjects, the effects of the model (particularly unanticipated effects) would have been difficult to quantify. Hence, a case study approach was utilized because it fit the investigators' purpose of using an analysis that was sensitive to even the most subtle changes in student teacher behavior, or supervisor behavior, or both.

THE CASE STUDIES

An analysis of the three case studies uncovered five themes that characterized the application of the horizontal evaluation model. Three themes: (1) a focus on the relationship of intents and practice, (2) the development of critical perspective, and (3) the development of holistic analysis, emerged in all three cases. The remaining two themes: (4) clarification of the valuation nature of teaching, and (5) agenda setting, were manifested in two cases.

The supervisor and student teacher talk will be identified in the case analysis in the following way: case one, case two, and case three and the conference number (e.g., 1-5) in which the conversation occurred.

Intent and Practice

One theme that emerged in all three case studies was the development of a focus on the relationship between intent and practice. This theme is concerned with the attention paid by the supervisor and student teacher to the nature of the relationship between the student teacher's intent (the purposes of instruction) and practice (the actual behavior manifested by the student teacher).

The shift towards an increased focus on the intent-practice linkage was apparent in all three case studies. In case three, for instance, the supervisor tended to ask questions that were rooted in either the student teacher's descriptions of what had occurred during the observed lesson or her own observations. The following interchange occurred in a discussion concerning noise level.

Student-teacher 3: It was a little bit, a little more noisier than normal.

Supervisor 3: Is that the entire group or the small group you worked with?

Student-teacher 3: The small group we worked with. I think they were a little excited with the cameras. So, I expected that. I though it was normal for what was happening.

Supervisor 3: What about the rest of the class? (Case 3, Conference 1)

In subsequent supervisory conferences there was a noticeable shift in the questions raised by the supervisor. While many of her questions remained rooted in either the student teacher's or her own observations, she began to ask questions aimed at linking the student teacher's performance to her intentions. Note the basis for the following line of questioning:

Supervisor 3: Is that one of your goals, to have interesting lesson plans?

Student-teacher 3: Yes, I want to make learning as interesting and as fun as possible for kids.

Supervisor 3: Do you think it was fun for them today? (Case 3, Conference 3)

Two sub-themes were also identified and bear mentioning. First, the student teacher in case one broadened the scope of factors that she applied to the analysis of intents and practice. Second, the supervisor in case three helped the student teacher to recognize implicit intentions that were given expression by the teacher's actions.

The finding that the application of horizontal evaluation results in an emphasis on the relationship of intents to practice has several implications. The primary one is that horizontal evaluation seems to contribute to the development of students of teaching, teachers who make instructional decisions based on knowledge of the implications of practice.

The other implications involve specific, operational examples of just how horizontal evaluation contributes to this development. First, it seems to lead both supervisors and teachers to treat teaching as more than a technical activity. By focusing on intentions, horizontal evaluation can lead to the recognition of the valuational and attitudinal bases of instructional practice. Second, the use of horizontal evaluation apparently contributes to the assessment of the relationship between short-term and long-term intents and practice. Such assessment should result in an improved understanding of the continuity of a teacher's intentions and practice over time. Finally, the attention that horizontal evaluation causes to be given to explicit intents seems to result in the identification of implicit ones as well. This, it would seem would lead to the development in teachers of a greater sensitivity to the powerful influence exerted by beliefs and attitudes, even when not explicitly stated, on practice.

Critical Reflection Versus Description

A theme strongly represented in all three cases was the growing use of critical reflection as opposed to basic description. Simply stated, critical reflection refers to a process of evaluation which leads to an analysis of one's intents and subsequent practice. Description refers to an explanation of practice or rationale or both without the aspect of evaluation.

A salient point embedded in this theme was the skill of the supervisors to encourage the student teachers to move beyond a description of intent or practice in isolation, to critical reflection which utilizes the element of evaluation. This occurred as the supervisors became more evocative and less directive in their supervisory style. For example, prior to using horizontal evaluation the supervisors tended to use description to convey a predetermined approach to teaching practice, or to analyze the student teachers' performances in descriptive and literal terms.

Once the supervisors began using horizontal evaluation, they became increasingly capable of developing lines of questioning that enhanced the opportunities of the student teachers to be critically reflective, and enabled them to question for themselves the congruity between their intents and practices.

Of further interest was that as the student teachers became more critically reflective of their practice, they increased their understanding that teaching is as much a product of a teacher's belief and attitudes as it is a function of external factors. This point was exemplified in case study two where the exchanges demonstrated the importance of critical reflection in tying philosophical positions to practice.

In the following exchange, the student teacher noted that he did not want to be a "policeman" in the classroom. Rather than accepting this descriptive statement, the supervisor related the student teacher's philosophical position to practice.

> Supervisor 2: I notice that you were there and you seemed to know what was going on all around the room, you were scanning and you seemed to know what was going on. How is that different? How is being aware to you different from being a policeman? (Case 2, Conference 2)

The student teacher replied that being aware is not policing and helps him guide the class. But then the supervisor asked:

> Supervisor 2: What about when things start getting out of hand? Let's say you've got a group over there that's talking. Is that being a policeman? (Case 2, Conference 2)

By pressing further, the supervisor encouraged the student teacher to be critically reflective of practice. At the end of this conversation the student teacher realized that some aspects of his practice implied he was being a policeman:

> Student Teacher 2: (If things get out of hand) I just tell them to stop. If they don't then they drop the class the next term. And they fail their grades. I know that's being a policeman. (Case 2, Conference 2)

By pointing out the relationship between practice and the student teacher's philosophical framework (which was stated in a long-term intent) the supervisor helped the student teacher become critically reflective about practice.

The implications of this theme are couched in the fact that supervision impacts upon one's teaching career for but a short period of time, thus having student teachers thoughtfully analyze their practice and philosophical frameworks encourages them to become their own "supervisor." A model of supervision which only describes teaching, even if the descriptions are correct, does not really prepare teachers to consistently promote their own development. Horizontal evaluation in all three cases, facilitated the growth of each student teacher to approach teaching in a critically reflective way.

Holistic Analysis of Teaching

Teaching occurs holistically in practice. The role of the teacher is not totally separated from questions about the curriculum or the attitudes students

develop. When supervisors use a holistic analysis they can point to the connections between various aspects of the educational process. These connections can be clarified within a single conference, or as a theme that runs through several conferences, or both.

Since the first supervisory conference in these case studies was being compared to the final four, it was impossible to see if supervisors not trained in horizontal evaluation (the first conference) would illuminate the connections between the various aspects of the educational process over a period of several conferences. What became apparent in the initial conferences was that the supervisors would start on a topic and proceed through their lists of priorities. Rarely were connections pointed out between aspects of the educational process In the first conference of the case study two the supervisory talk included discipline, repeating right answers, staying on-task, individual differences, and relevance. Although these topics were all presented in interesting ways, the supervisor provided few insights in clarifying how, for example, individual differences may impact on discipline, or how relevance can be a way to account for individual differences. When supervisors used horizontal evaluation there seemed to be a dramatic increase in the supervisors' clarification of the connections between aspects of the educational process. For example, in the third conference of case study two, the supervisor began by asking the student teacher his opinion of the lesson. The student teacher mentioned a group of students who were causing problems. After a brief discussion of who was in this group, the supervisor tried to link the student teacher's description of practice to his earlier intents. What this allowed the supervisor to do was to see how some of the everyday practices in various classes impacted on the student teacher's intents:

> Supervisor 2: What I'd like to do is go through some of your earlier intents and see how they fit in with your college prep class. Looking at some of the things that happened in the lesson plus some of the things that go on everyday. Okay. The first one says that students will cooperate with me, not only in my capacity as instructor but as a friend as well. (Case 2, Conference 3)

The conversation that followed indicated that the student teacher felt his role should be different with his college prep English class than with the students in his alternative education class. This became a basic theme for the third conference which was used to point out how aspects of the teaching process such as the number of students in a class, grades, type of assignments given, and structure of the class impact upon a stated goal.

By identifying long-range intents not only can these be the focus for holistic themes within a conference but the supervisor is more likely to repeat these themes as they apply to past and future practices of the student teacher. Because long-term intents are a basic component of horizontal evaluation it seems likely that the model promotes a holistic analysis of teaching.

The inclusion of a holistic analysis in a a supervisory conference gives student teachers a more realistic understanding of the teaching process. Viewing teaching from this perspective allows the student teacher to more accurately analyze problems, limitations, and opportunities inherent in the teaching process.

Clarifying the Valuative Nature of Teaching

Few would argue with the statement that the implications of educational practice have valuative consequences. Yet it is not unusual for teachers to view practice

as value-free, given their emphasis on means, not ends. Dewey's arguments about the continuum between means and ends (Archambault, 1964) suggests that regardless of a teacher's emphasis, she/he is involved in a valuative process.

In reviewing the first conference of the three case studies, there was not a single instance when the supervisor tried to explicitly clarify or question the value orientation of an educational aim or practice. Although the use of horizontal evaluation did not dramatically increase the amount of supervisory talk about the valuative nature of teaching, this type of issue was raised several times.

One example of dialogue that tried to clarify the valuative nature of teaching occurred in the second case study. The supervisor was investigating one of the student teacher's long-term intents (students will learn to take responsibility for homework and their acts). Specifically, the supervisor asked the student teacher:

> Supervisor 2: How does that (grades) fit in with your fourth intent-that students will learn to take responsibility for homework and their acts? (Case 2, Conference 2)

In the discussion that followed the student teacher was asked to decide if he was using grades as a "club" or did grades really fit in with the concept of students taking responsibility for their own acts. Although a definitive decision was not reached, the student teacher was encouraged to explore the valuative nature of giving grades.

The implications of clarifying the valuative nature of teaching are two fold. First, teachers will have a greater awareness of how practice and educational goals affect the attitudes and opportunities of students and the normative structure of our society. Secondly, with this increased awareness, teachers may be in a better position to use their own "philosophical" screens to direct the educational process in a desired direction. Although this will not assure a more equal and just society, it may bring some of the hidden curriculum to the surface.

Agenda Setting

The final theme that emerged from our analysis of the application of horizontal evaluation was agenda setting. This theme was concerned with whether it is the student teacher or the supervisor who determines the issues discussed during a conference. In two of the three case studies we found that there was a distinct shift away from supervisor dominated agenda setting towards a greater balance between supervisor and student teacher initiation of discussion. Case one provides an excellent example of such a shift. In this case, the supervisor's previous experience with a competency based evaluation approach which focused upon predetermined competencies and behavioral objectives appeared to precipitate two points. First, the conference became narrowly focused upon the objectives and activities of a specific lesson and seems to have precluded the opportunity for holistic analysis described as theme three. Second, the conference took on an authoritative air in which the agenda was generated solely by the supervisor and the student teacher became a respondent to prescribed questions and a receiver of prescribed solutions. For example, the first conference began in the following manner:

> Supervisor 1: Let's go over you lesson plan for today, see what you're going to be teaching.

Student teacher I: Today I thought I would do something on social skills, and the lesson I chose was sharing with others and working together cooperatively. Do you want me to go over the whole thing?

Sueprvisor I: What are your objectives for today? (Case I, Conferencel)

It is evident that the supervisor has a technical focus in mind and wants the conference to follow a predetermined agenda. In contrast, consider the more open and flexible approach to agenda setting employed by the supervisor when she employed the horizontal model:

Supervisor I: Okay, before we being, how do you feel about the lesson today? (Case I, Conference 2)

Supervisor I: Let's see what our goals were for today, and our objective and take it from there. What are some of the long-term things that you had in mind in accomplishing? (Case I, Conference 3)

These examples demonstrate a willingness on the part of the supervisor to consider the feelings of the student teacher and allow for questions and agenda items to be generated by the student teacher on a more equal basis.

Although the supervisor using horizontal evaluation can set quite a few of the agenda items by asking probing questions and utilizing the student teacher's intents, this mohel allowed a more balanced input in selecting the agenda for the conference.

The observed shift towards a greater balance in agenda setting has several implications. First, it suggests that the application of horizontal evaluation can assist a supervisor to help a teacher to understand and improve in areas that the teacher thinks are important. If the supervisor sets the agenda for a conference, the resulting understanding and improvement might have little impact on the teacher's practice. For, the focus of the conference might be on areas that the teacher believes to be irrelevant.

A second implication of the agenda setting theme is that horizontal evaluation may contribute to the flexbility and degree of spontaneity of an evaluation conference. This can occur in two ways. Horizontal evaluation can cause both a supervisor and teacher to move beyond a narrow and rigid technical focus by encouraging the consideration of a broader set of factors. Additionally, it can help to overcome the typically hierarchical tone of evaluation conferences. Such openness, we found, allowed student teachers to qenerate quesitons and issues which facilitated a dialectic exchange with their supervisors, and the generation of mutually derived solutions.

CONCLUSION

The analysis of the thee case studies indicated that horizontal evaluation changed the priorities of the supervisory conferences. The most signifcant change was that teaching was analyzed as the relationship between educational aims (intents) and practice. In pointing out this relationship, student teachers were encouraged to make their intents mo-e explicit, see relationships between short-term and long-term intents, better understand the intentions embedded in practice, and view teaching as more than a technical activity.

Student teachers were also encouraged to not only describe practice, but also to critically analyze it. This critical perspective served as a model teachers could use in future situations to become their own "supervisors." A critical perspective also clarified how teachers' beliefs and attitudes affected their practice.

Horizontal evaluation provided a holistic analysis of teaching. This enabled the supervisory conferences to not only investigate the observed events independently, but include an analysis which pointed out connections between aspects of the teaching process and liked past and future analyses of teaching.

Student teachers who were included in the horizontal evaluation scheme had a significant input in setting the agenda for the supervisory conference. A greater balance between student teachers and supervisors in terms of setting the conference agenda not only provided a more flexible conference structure, but also a less hierarchical and defensive attitude between the supervisor and student teacher. This attitude increased the likelihood that the student teacher would utilize the "supervisory talk" in making future educational decisions.

A final aspect of supervisory conference affected by the use of horizontal evaluation was the illumination of the valuative nature of teaching. Although these types of issues were only included in two of the three case studies, their mere existence showed a change from the conferences that did not use horizontal evaluation. Since schools do not exist in a vacuum, and are affected by political and ethical norms established in a particular culture, it is important for teachers to understand and react to these valuative influences.

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